

1FW 3694

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Total Number of Pages in This Submission

| | |
|------------------------|--------------------|
| Application Number | 09/884,303 |
| Filing Date | JUNE 19, 2001 11 |
| First Named Inventor | GARRY D. GLADSTONE |
| Art Unit | 3694 |
| Examiner Name | ELLA COLBERT |
| Attorney Docket Number | GLADS-001A |

ENCLOSURES (Check all that apply)

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| <input checked="" type="checkbox"/> Amendment/Reply | <input type="checkbox"/> Petition | <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) |
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SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

| | | | |
|--------------|---------------------------------|----------|--------|
| Firm Name | Stetina Brunda Garred & Brucker | | |
| Signature | <i>Eric L. Tanezaki</i> | | |
| Printed name | Eric L. Tanezaki | | |
| Date | 1/05/2007 | Reg. No. | 40,196 |

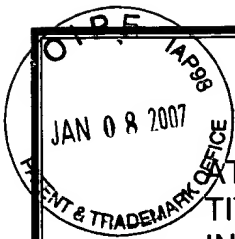
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This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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ATTORNEY DOCKET NO: GLADS-001A
TITLE: METHOD AND SYSTEM FOR AUTOMATED TRADING OF FINANCIAL
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Certificate of Mailing under 37 CFR 1.8 or 37 CFR 1.10

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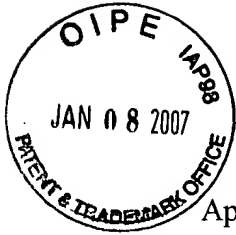
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Application No.: 09/884,303
Response to Office Action of November 02, 2006
Attorney Docket: GLADS-001A



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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|-------------|-----------------------|---|------------------|--------------|
| Applicants: | Garry D. Gladstone |) | Confirmation No. | 4813 |
| | |) | | |
| Serial No.: | 09/884,303 |) | Art Unit: | 3694 |
| | |) | | |
| Filed: | June 19, 2001 |) | Examiner: | Ella Colbert |
| | |) | | |
| For: | METHOD AND SYSTEM FOR |) | | |
| | AUTOMATED TRADING OF |) | | |
| | FINANCIAL INSTRUMENTS |) | | |

RESPONSE TO OFFICE ACTION

Mail Stop Amendment
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Dear Sir:

In response to the Office Action of November 02, 2006, please amend the above-identified application as follows: